

Participant Files/Records Transfer Policy

Should a Program Operator cease operations or if another Program Operator is awarded a contract to provide service delivery in lieu of the former Operator, the following participant files/records storage and/or transfer provisions will apply.

- A. The current Program Operator is responsible for the completeness/accuracy of all participant files/records until such time as those records are turned over to the WIB. The Operator will be required to sign a statement, provided by the WIB, attesting to the completeness/accuracy of all participant files/records in their possession that will be transferred to the WIB. Even after transfer, the Program Operator retains responsibility and liability for all activities that occurred during the period functioning as a Program Operator for the WIB.
- B. The WIB will secure all participant files/records providing the Program Operator with an acceptance receipt. The WIB will be responsible for the security and storage of all files/records obtained from the Program Operator.
- C. In the event that a new Program Operator has been awarded a contract to deliver services previously performed by the former Program Operator, the new Operator assumes responsibility and liability for all actions occurring once they are in receipt of the files/records. The WIB will insure that original documents for all active participants are provided to the new Operator and copies of those documents are placed in the original file secured from the former Operator and retained in storage. The new Operator will sign an acceptance letter provided by the WIB, listing all files/records that have been provided to them by the WIB and accepting responsibility/liability for the maintenance of those files/records. For participants who have excised and are no longer receiving any services, including follow-up, all files/records for those participants will remain in storage. The former Program Operator will provide the following at time of transfer:

1. A full client list.
 2. A separate list differentiating active and inactive participants by name and State ID number.
 3. A chain of custody document signed by all parties including date of transfer, recipient entity and any transfer issues.
- D. All secured participant files/records will be retained by the WIB for a minimum of three (3) years following completion of the last clean audit. Financial records will be retained for a minimum of five (5) years. The WIB will pay all storage costs for all effected documents. The WIB will also be responsible for destruction of documents once the required retention period has expired. Should any issues arise concerning records transferred to the new Operator, the WIB will act as a mediator between both Operators to insure that a resolution to the issue is achieved in a timely manner.